

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named  
Inventor : Kuansan Wang

Appln. No. : ---

Filed : April 16, 2004

For : METHOD AND APPARATUS FOR  
PERFORMING PLAN-BASED  
DIALOG

Docket No.: M61.12-0660

Group Art Unit: ---

Examiner: ---

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Express Mail No. EV388910850US  
Date of Deposit: April 16, 2004

Sir:

The patents or publications listed on the enclosed PTO Form-1449 are submitted pursuant to 37 C.F.R. § 1.97. Copies of the patents or publications cited are enclosed, except as waived by the Official Gazette notice of August 5, 2003 regarding copies of US Patents and Publications.

This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior Application No. 09/662,242, filed on September 14, 2000. References listed on the enclosed PTO Form 1449 were submitted to and/or cited by the Office in the prior application and copies are therefore not required to be provided herewith under 37 C.F.R. § 1.98(d).

**METHOD OF PAYMENT**

  x   No fee is required.

       Attached is a check in the amount of \$      .

The Director is authorized to charge any fee deficiency required by this paper or credit any overpayment to Deposit Account No. 23-1123. A duplicate copy of this communication is enclosed.

Respectfully submitted,

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<b>FORM PTO-1449</b>	<b>Atty. Docket No.:</b> <b>M61.12-0660</b>	<b>Appl. No.:</b> <b>---</b>
<p align="center">LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</p>	<b>First Named Inventor:</b>	
	<b>Kuansan Wang</b>	
	<b>Filing Date</b>	<b>Group Art:</b>
	<b>April 16, 2004</b>	<b>---</b>

## U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
AA	09/662,242	09/14/00	Wang			Pending
AB	6,246,981	06/2001	Papineni et al.	704	235	
AC	6,505,162	1/2003	Wang et al.	704	275	
AD	6,044,347	3/2000	Abella et al.	704	272	
AE	6,490,560	12/2002	Ramaswamy et al.	704	250	
AF	6,356,869	3/2002	Chapados et al.	704	275	
AG	6,493,673	12/2002	Ladd et al.	704	275	
AH	5,892,813	1/1999	Morin et al.	379	88.01	
AI	6,567,805	5/2003	Johnson et al.	707	5	
AJ	6,173,266	1/2001	Marx et al.	704	270	
AK	5,357,596	10/1994	Takebayashi et al.	704	275	
AL	5,414,797	05/1995	Vassiliadis et al.	395	51	
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AN	5,995,921	11/1999	Richards et al.	704	9	
AO	5,355,444	10/11/94	Chirico	395	51	
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AW	10/172,163	06/14/02	Wang			
AX	6,192,354	02/20/01	Bigus et al.	706	46	

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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AY	"JUPITER: A Telephone-Based Conversational Interface for Weather Information," IEEE Transactions on Speech and Audio Processing, Vol. 8, No. 1, pages 85-96, (January 2000).
AZ	Jian Liu et al., "Combining Hierarchical Filtering, Fuzzy Logic, and Simulation with Software Agents for IP (Intellectual Property) Selection in Electronic Design," International Journal on Artificial Intelligence Tools, Vol. 10, No. 3, pp. 303-323 (Sept. 2001).
BA	Stillger, M. et al., "A Communication Infrastructure for a Distributed RDBMS," Proceedings of the 6 <sup>th</sup> International Euro-Par Conference, pp. 445-450 (August/September 2000).
BB	Devaney, M. et al., "Needles in a Haystack: Plan Recognition in Large Spatial Domains Involving Multiple Agents," Proceedings of the Fifteenth National Conference on Artificial Intelligence, pp. 942-947 (July 1998).
BC	Arai, S. et al., "Multi-Agent Reinforcement Learning for Planning and Scheduling Multiple Goals," Proceedings Fourth International Conference on MultiAgent Systems, pp. 359-360 (July 2000).
BD	Xiang, Y. et al., "Justifying Multiply Sectioned Bayesian Networks," Proceedings Fourth International Conference on MultiAgent Systems, pp. 349-356 (2000).
BE	F. Giunchiglia et al., "Understanding Scene Descriptions by Integrating Different Sources of Knowledge," International Journal of Man-Machine Studies, Vol. 37, No. 1, pp. 47-81 (July 1992).
BF	M. Rolbert, "Reference Processing in Database Query System," Tenth International Workshop, Expert Systems and their Applications, France, pp. 161-75 (May 28-June 1, 1990).
BG	<a href="http://msdn.microsoft.com/library/en-us/wss/wss/_cdo_iperson_interface.asp">http://msdn.microsoft.com/library/en-us/wss/wss/_cdo_iperson_interface.asp</a> (November 7, 2002).
BH	Ted Pattison, "Visual Basic .NET: New Programming Model and Language Enhancements Boost Development Power", from the February 2001 issue of <u>MSDN Magazine</u> .
BI	"An Event-Driven Model for Dialogue System," by K. Wang, Proc. ICSLP-98, (Dec. 1998).
BJ	"How May I Help You?" by A. Gorrin et al., Speech Communications, Vol. 23, (1997).

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	BK	"A Stochastic Model of Human-Machine Interaction for Learning Dialog Strategies," IEEE Transactions on Speech and Audio Processing, Vol. 8, No. 1, pages 11-23, (January 2000).
	BL	"The Thoughtful Elephant: Strategies for Spoken Dialog Systems," IEEE Transactions on Speech and Audio Processing, Vol. 8, No. 1, pages 51-62, (January 2000).
	BM	All communications from application number 09/662,242, filed September 14, 2000: Office Actions dated: 07/11/2003; 12/03/2003; 02/04/2004; Responses dated: 10/20/2003; 01/20/2004; 04/02/2004
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